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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/401,857	09/22/1999	JOHN M. NICKERSON	PM-263282	5226

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EXAMINER

WALLERSON, MARK E

ART UNIT	PAPER NUMBER
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2626

DATE MAILED: 01/09/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.
09/401,857

Applicant(s)
Nickerson et al

Examiner
Mark Wallerson

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on Sep 29, 2003.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-13, 15, and 19-47 is/are pending in the application.
- 4a) Of the above, claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-13, 15, and 19-47 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claims _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
*See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s). _____ 6) ☐ Other: _____

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Part III DETAILED ACTION

Notice to Applicant(s)

1. This action is responsive to the following communications: amendment filed on **9/29/2003**.
2. This application has been reconsidered. Claims 1-13, 15, and 19-47 are pending.

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371© of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) do not apply to the examination of this application as the application being examined was not (1) filed on or after November 29, 2000, or (2) voluntarily published under 35 U.S.C. 122(b). Therefore, this application is examined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

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4. Claims 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 41, 42 are rejected under 35 U.S.C. 102(e) as being anticipated by Masson et al (Masson) (U. S. 6,293,469).

With respect to claims 19 and 23, Masson discloses a machine (figure 1) for preparing and dispensing documents relating to financial transactions (column 2, lines 5-9) comprising a manually operable input unit for input of data and operation commands (column 2, lines 50-56); a document printer unit for printing readable information on document forms based on input data (column 2, lines 15-23), the printer comprising a document form storage receptacle for holding the document forms prior to being printed (column 2, lines 57-61); an ink jet printer for printing the readable information on the documents (column 11, lines 12-15); a feed mechanism for feeding the document forms in succession from the receptacle to the printer and for dispensing printed documents from the machines after being printed (column 2, lines 5-13 and 57-66), and an internal control unit coupled to the input unit and printer for controlling operation of the printer (column 4, lines 10-15), wherein each document form carries a bar code and the machine comprises an optical reader for reading the bar code (column 2, lines 22-32).

With regard to claims 20, Masson discloses the feed mechanism feeds document forms in succession in a feed direction through the printer (column 2, lines 57-66), the printer comprising a print head for dispensing ink (column 11, lines 8-11), the print head mounted for movement in a direction traverse to the feed direction (column 8, lines 30-44), and the optical sensor mounted for movement with the print head (the abstract, lines 1-7).

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With respect to claim 21, Masson discloses the sensor is coupled to the control unit for supplying data obtained from the bar code (column 2, lines 33-56).

With respect to claim 22, Masson discloses a machine (figure 1) for preparing and dispensing documents relating to financial transactions (column 2, lines 5-9) comprising a manually operable input unit for input of data and operation commands (column 2, lines 50-56); a document printer unit for printing readable information on document forms based on input data (column 2, lines 15-23), the printer comprising a document form storage receptacle for holding the document forms prior to being printed (column 2, lines 57-61); an ink jet printer for printing the readable information on the documents (column 11, lines 12-15); a feed mechanism for feeding the document forms in succession from the receptacle to the printer and for dispensing printed documents from the machines after being printed (column 2, lines 5-13 and 57-66), and an internal control unit coupled to the input unit and printer for controlling operation of the printer (column 4, lines 10-15), wherein the printer supplies ink for printing (column 18, lines 10-16).

With respect to claim 24, Masson discloses a program-controlled data processing device and input/output means for receiving the data and supplying signals to the printer, and memory means for storing programs instructions (column 12, line 58 to column 13, line 26).

With respect to claim 26, Masson discloses each document form carries a bar code and the machine comprises an optical reader for reading the bar code (column 2, lines 22-32).

With regard to claim 25, Masson discloses plural document forms held in the receptacle (column 2, lines 57-62) and each of the documents is a preprinted form (column 2, lines 33-41).

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With respect to claim 27, Masson discloses the documents are printed to have a monetary value determined by the inputted data and means for storing the monetary value (column 11, lines 40-52).

With regard to claim 28, Masson discloses blank forms held in the receptacle (column 2, lines 57-61), the printer supplying ink to be dispensed by the print head (column 18, lines 10-23).

With regard to claims 29, 30, and 34 Masson discloses a machine (figure 1) for preparing and dispensing documents relating to financial transactions (column 2, lines 5-9) comprising a manually operable input unit for input of data and operation commands (column 2, lines 50-56); a document printer unit for printing readable information on document forms based on input data (column 2, lines 15-23), the printer comprising a document form storage receptacle for holding the document forms prior to being printed (column 2, lines 57-61); an ink jet printer for printing the readable information on the documents (column 11, lines 12-15); a feed mechanism for feeding the document forms in succession from the receptacle to the printer and for dispensing printed documents from the machines after being printed (column 2, lines 5-13 and 57-66), and a control unit coupled to the input unit and printer for controlling operation of the printer (column 4, lines 10-15), the documents are printed to have a monetary value determined by the inputted data and means for storing the monetary value (column 11, lines 40-52), and a communication interface for transmitting data stored in the memory to a central location (column 2, lines 33-56).

With respect to claims 41-45, Masson discloses a keyboard (which reads on a terminal) in communication with the machine (column 2, lines 50-56).

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Claim Rejections - 35 USC § 103

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 1-13, 15, and 30-33, 35-47 are rejected under 35 U.S.C. 103(a) as being unpatentable over Masson (U. S. 6,293,469) in view of Hammond (U. S. 5,119,293).

With respect to claims 1, 15, 31-33, 35, 36, 38, 39, 46 and 47, Masson discloses a machine (figure 1) for preparing and dispensing documents relating to financial transactions (column 2, lines 5-9) comprising a manually operable input unit for input of data and operation commands (column 2, lines 50-56); a document printer unit for printing readable information on document forms based on input data (column 2, lines 15-23), the printer comprising a document form storage receptacle for holding the document forms prior to being printed (column 2, lines 57-61); an ink jet printer for printing the readable information on the documents (column 11, lines 12-15); a feed mechanism for feeding the document forms in succession from the receptacle to the printer and for dispensing printed documents from the machines after being printed (column 2, lines 5-13 and 57-66), and an internal control unit coupled to the input unit and printer for controlling operation of the printer (column 4, lines 10-15), a memory for storing data representing the monetary value of each document and data representing the cumulative monetary value of a succession of documents (column 2, lines 41-47), and a communication interface for conducting

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communications with a central location remote from the machine and transmitting data stored in the memory to the central location (column 2, lines 41-47).

Masson differs from claims 1, 15, and 31-33 in that he does not clearly disclose receiving authorization instructions from the central location via the interface and the control unit operative to block dispensing of the printed documents when no transmission of data stored in the memory has occurred for a predetermined period or reception of an authorization instruction from the central location has not occurred for a predetermined period of time.

Hammond discloses a system for dispensing negotiable instruments wherein data stored in the memory of the dispensing machine is uploaded to the central location and security information is sent from the computer to the dispenser, wherein operation of the dispenser is ceased at any predetermined event occurrence (which reads on prohibiting dispensing of the printed documents when no transmission of data stored in the memory has occurred for a predetermined period or reception of an authorization instruction from the central location has not occurred for a predetermined period of time) (column 3, lines 15-38). Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention to have modified Masson wherein dispensing of the documents is blocked when authorization instructions from the central location via the interface and the control unit operative has not occurred for a predetermined period or reception of an authorization instruction from the central location has not occurred for a predetermined period of time. It would have been obvious to one of ordinary skill in the art at the

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time of the invention to have modified Masson by the teaching of Hammond in order to allow for greater control of the system.

Further with regard to claim 35, Masson discloses a method for preparing and dispensing documents relating to financial transactions (column 2, lines 5-9) comprising a manually operable input unit for input of data and operation commands (column 2, lines 50-56); providing plural documents each printed with a bar code (column 2, lines 33-50); feeding a succession of document forms from a storage receptacle to a document printer and printing readable information on each document based on inputted data (column 2, lines 57-66; column 4, lines 16-35, and column 8, lines 30-33); reading the bar code on each document with an optical reader when the form is in the printer (column 4, lines 16-35), and dispensing each form after printing (column 2, lines 5-10).

Further with regard to claims 36 and 37, Masson discloses a method for preparing and dispensing documents relating to financial transactions (column 2, lines 5-9) comprising a manually operable input unit for input of data and operation commands (column 2, lines 50-56); feeding a succession of document forms from a storage receptacle to a document printer and printing readable information on each document based on inputted data (column 2, lines 57-66; column 4, lines 16-35, and column 8, lines 30-33); printing on each successive document with magnetic ink (ink) (column 8, lines 30-49 and column 18, lines 10-19), and dispensing each form after printing (column 2, lines 5-10).

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With respect to claims 2, 10, and 13, Masson discloses each document form carries a bar code and the machine comprises an optical reader for reading the bar code (column 2, lines 22-32).

With regard to claims 3 and 4, Masson discloses the feed mechanism feeds document forms in succession in a feed direction through the printer (column 2, lines 57-66), the printer comprising a print head for dispensing ink (column 11, lines 8-11), the print head mounted for movement in a direction traverse to the feed direction (column 8, lines 30-44), and the optical sensor mounted for movement with the print head (the abstract, lines 1-7).

With respect to claim 5, Masson discloses the sensor is coupled to the control unit for supplying data obtained from the bar code (column 2, lines 33-56).

With regard to claim 6, Masson discloses feeding the documents in a single direction from the receptacle through the printer (column 2, lines 57-65 and column 7, lines 56-60).

With respect to claims 7, 8, and 24, Masson discloses a program-controlled data processing device and input/output means for receiving the data and supplying signals to the printer, and memory means for storing programs instructions (column 12, line 58 to column 13, line 26).

With regard to claim 9, Masson discloses plural document forms held in the receptacle (column 2, lines 57-62) and each of the documents is a preprinted form (column 2, lines 33-41).

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With respect to claims 11, Masson discloses the documents are printed to have a monetary value determined by the inputted data and means for storing the monetary value (column 11, lines 40-52).

With regard to claim 12, Masson discloses blank forms held in the receptacle (column 2, lines 57-61), the printer supplying ink to be dispensed by the print head (column 18, lines 10-23).

With respect to claim 40, Masson discloses a keyboard (which reads on a terminal) in communication with the machine (column 2, lines 50-56).

Response to Arguments

7. Applicant's arguments with respect to claims 1-13, 15, and 19-42 have been considered but are moot in view of the new ground(s) of rejection.

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Mark Wallerson whose telephone number is (703) 305-8581.

Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is (703) 305-4700.

Any response to this action should be mailed to:

Commissioner of Patents and Trademarks

Washington, DC 20231

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or faxed to:

(703) 872-9314 (for formal communications intended for entry)

(for informal or draft communications, such as proposed amendments to be discussed at an
interview; please label such communications "PROPOSED" or "DRAFT")

or hand-carried to:

Crystal Park Two

2121 Crystal Drive

Arlington, VA.

Sixth Floor (Receptionist)



MARK WALLERSON
PRIMARY EXAMINER

MARK WALLERSON